

**Chief Compliance Officer**  
**Office of Enterprise Compliance**  
**December 2010**

**Item 4a – Attachment 1**

**Board Assignment Status**

<b>Assignment Date</b>	<b>Request / Subject</b>	<b>Due Date</b>	<b>Status / Completed Date</b>
	Nothing to report		

**Other Items of Interest**

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Program Activities	<ul style="list-style-type: none"><li>• ECOM presented two <i>Working Values</i> sessions in New Employee Orientation on November 2, 2010 and December 8, 2010.</li><li>• The Chief Compliance Officer provided compliance briefings to the DEO of Benefits and to the AEO of Information Technology Services.</li></ul>
Reporting Non-Compliance Issues	Ongoing
Compliance Area Manager – Investments	<ul style="list-style-type: none"><li>• Global Equities and Fixed Income Compliance Area Managers (CAM) are monitoring investments daily and providing weekly summaries of compliance alerts to the Chief Compliance Officer.</li><li>• CAMs worked with INVO and LEGO on Investment policy reviews.</li><li>• The Compliance Area Manager for Alternative Investment Management was appointed December 6, 2010.</li></ul>
Compliance Area Manager – Health	<ul style="list-style-type: none"><li>• CAM worked with Health business line to assess risk of non-compliance with policies, rules, and regulations.</li></ul>
Compliance Area Manager – Pension	<ul style="list-style-type: none"><li>• CAM worked with Pension business line to assess risk of non-compliance with policies, rules, and regulations.</li></ul>